

Administrative Onsite Monitoring & Performance Review Tool



Iowa Department on Aging
510 E 12th Street, Ste. 2
Des Moines, IA 50319
515.725.3333 | 800.532.3213
www.iowaaging.gov

Area Agency on Aging:		IDA Monitor:	
AAA Program Staff: (Name & Title)		Review Period:	
Attachment(s):		Date(s) of Onsite:	

Section I: Requirement Compliance Review

References Federal, State and/or contractual requirements with which the AAA must be in compliance. Deficiencies noted in this section are findings which will require corrective action.

#	Authority	Review Question	Complaint		Comments (Identify document used to verify compliance)
			Yes	No	
1	IC 231.33(4) Service Providers	Provide technical assistance as needed, document quarterly monitoring, and provide a written report of an annual on-site assessment of all service providers funded by the area agency.	<input type="checkbox"/>	<input type="checkbox"/>	
2	IC 231.33(14) Laws, Rules, Regulations, etc	Monitor, evaluate, and comment on laws, rules, regulations, policies, programs, hearings, levies, and community actions which significantly affect the lives of older individuals.	<input type="checkbox"/>	<input type="checkbox"/>	
3	IC 231.33(16) Represents Interests	Represent the interests of older individuals and their caregivers to public officials, public and private agencies, or organizations.	<input type="checkbox"/>	<input type="checkbox"/>	

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4	IC 231.33(17) Collaboration & Coordination	Coordinate planning with other agencies and organizations to promote new or expanded benefits and opportunities for older individuals.	<input type="checkbox"/>	<input type="checkbox"/>	
5a	IC 231.33(18) Emergency Plan	Coordinate planning with other agencies for assuring the safety of older individuals in a natural disaster or other safety threatening situation.	<input type="checkbox"/>	<input type="checkbox"/>	
5b	IAC 17-6.9(1) Emergency Situations	<p>Prior to and after a natural disaster or other safety-threatening situation, each AAA shall plan and coordinate with other public and private entities for safe and timely continuity of service and the restoration of normal living conditions for older individuals. This shall include:</p> <ul style="list-style-type: none"> a. Alerting older individuals of the impending danger; b. Assessing the needs of older individuals after the event occurs; and c. Ensuring that identified needs are met through collaboration with other agencies. 	<input type="checkbox"/>	<input type="checkbox"/>	
5c	IAC 17-6.9(2) Emergency response procedures	<p>To further this purpose, each AAA shall:</p> <ul style="list-style-type: none"> a. Include in the procedures manual established as required in this chapter procedures to respond to emergency or disaster situations; b. Include in the development and training plan methods of training for staff, contractors, and other interested parties in response to emergency or disaster situations; and c. Include in subgrants or contracts provisions for responding to emergency or disaster situations including, but not limited to, shifting funds from one activity to another or from one contractor to another. 	<input type="checkbox"/>	<input type="checkbox"/>	

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5d	IAC 17-6.9(3) Emergency Services	As a part of emergency response, the AAA may plan, coordinate and provide services funded under other programs consistent with responsibilities of an AAA.	<input type="checkbox"/>	<input type="checkbox"/>	
6	IC 231.33(20) Suggestion in Employment Practices	Provide the opportunity for older individuals residing in the planning and service area to offer substantive suggestions regarding the employment practices of the area agency on aging.	<input type="checkbox"/>	<input type="checkbox"/>	
7	IC 231.62 Alzheimer's Disease Services & Assistance	Pursuant to the federal Act, the department shall direct the area agencies on aging to use outreach efforts to identify older individuals with Alzheimer's disease and related disorders and to establish supportive services for those individuals and their families. The department shall regularly review trends and initiatives to address the long-term living needs of Iowans to determine how the needs of persons with Alzheimer's disease and related disorders can be appropriately met.	<input type="checkbox"/>	<input type="checkbox"/>	
8	IAC 17-6.3(5) Training and Development Requirements	Each AAA shall have a plan and procedures that will support a broad program of staff development activities to ensure training of volunteers, paid personnel and providers of services to Iowa's older individual population.	<input type="checkbox"/>	<input type="checkbox"/>	
9	IAC 17-6.4(1) Confidentiality	AAA shall implement procedures to ensure that no information in possession of an AAA, or an entity providing services under programs funded by the department, is disclosed in a form identifiable with an individual without that individual's informed consent regardless of the source of the information.	<input type="checkbox"/>	<input type="checkbox"/>	
10	IAC 17-6.4(2) Public accessibility	Copies of all manuals, guidelines, and standards referred to by these rules shall be maintained by the AAA and available for public inspection.	<input type="checkbox"/>	<input type="checkbox"/>	

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11	IAC 17-6.7(3) AAA Board of Directors	Each designated AAA shall establish a board of directors in accordance with its individual articles of incorporation and bylaws. Each AAA board of directors shall have board nominating and election procedures specified in its bylaws.	<input type="checkbox"/>	<input type="checkbox"/>	
12	IAC 17-6.7(4) AAA Board of Directors	Each AAA shall specify in its bylaws the scope, function and responsibilities of the board, board committees and individual board members.	<input type="checkbox"/>	<input type="checkbox"/>	
13	IAC 17-6.7(5) Board of Directors Orientation	Each AAA shall provide an orientation process for newly elected board members that includes, at a minimum, the scope, function and responsibilities of the AAA and the responsibilities of the board, board committees and individual board members.	<input type="checkbox"/>	<input type="checkbox"/>	
14	IAC 17-6.8(2)(b) 6.8(2)(d) 6.8(2)(e) Duties	It shall be the specific responsibility of the advisory council to advise the AAA and: <i>b.</i> Review and make recommendations on the content, formulation, administration and priorities of the area plan and participate in public hearings on the area plan; <i>d.</i> Review and comment on community policies, programs and actions which affect older individuals; <i>e.</i> Assist in generating local support for development of programs for older individuals in the area.	<input type="checkbox"/>	<input type="checkbox"/>	
15	IAC 17-6.8(3) Frequency of Meetings	The AAA advisory council shall meet at least quarterly	<input type="checkbox"/>	<input type="checkbox"/>	
16	IAC 17-6.8(4) Staff Support	The AAA shall provide staff and assistance to the AAA advisory council.	<input type="checkbox"/>	<input type="checkbox"/>	

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17	IAC 17-6.8(5) Advisory Council Bylaws	The AAA advisory council bylaws shall contain at least the basic bylaws: name, purpose, members, officers, meetings, committees, parliamentary authority and procedure for amendment of bylaws. The bylaw on membership shall include, but is not limited to, the number of, selection process and length of terms for members.	<input type="checkbox"/>	<input type="checkbox"/>	
18	IAC 17-6.10(1) Procedures Manual	Establishing and maintaining information and assistance availability to ensure that older individuals within the PSA will have convenient access to services;	<input type="checkbox"/>	<input type="checkbox"/>	
19	IAC 17-6.10(2) Evaluations	Conducting periodic evaluations, which may include participant satisfaction surveys of activities carried out under the area plan;	<input type="checkbox"/>	<input type="checkbox"/>	
20	IAC 17-6.10(3) Technical Assistance	Furnishing appropriate technical assistance to providers of supportive services, nutrition services, or multipurpose senior centers;	<input type="checkbox"/>	<input type="checkbox"/>	
21	IAC 17-6.10(4) Provider Selection Process	Establishment of a request for proposal process that includes methods of selection of providers and methods for award of grants or contracts under the area plan, including stipulations that all subcontractors or subgrantees comply with all applicable local, state and federal laws, rules or regulations, and, if applicable, all requirements for nonprofit entities;	<input type="checkbox"/>	<input type="checkbox"/>	

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22	IAC 17-6.10(5) Appeal Procedures	Resolving complaints by any aggrieved party directly affected by an action or omission of the AAA. AAA appeal procedures shall be in compliance with the relevant federal and state statutes, regulations and rules and shall contain at least the following procedures and time frames for complaint resolution: a. Acknowledgment of the complaint; b. Process for attempting to informally resolve the complaint; c. Time frame for sending a hearing notice; d. Process for holding a hearing; e. Notification of the outcome of the hearing; f. Appeal to the next higher authority;	<input type="checkbox"/>	<input type="checkbox"/>	
23	IAC 17-6.10(6) Confidentiality	Ensuring confidentiality, so that no information about or obtained from an older individual is disclosed in a form that identifies the person without the person's informed consent;	<input type="checkbox"/>	<input type="checkbox"/>	
24	IAC 17-6.10(7) Monitoring	The assessment and monitoring methods for programs and subcontracts funded by the AAA. This shall include documentation of quarterly monitoring of performance and on-site assessment and report at least annually;	<input type="checkbox"/>	<input type="checkbox"/>	
25	IAC 17-6.10(8) Emergency Response	Response to emergency or disaster situations	<input type="checkbox"/>	<input type="checkbox"/>	
26	IAC 17-6.10(9) Service Delivery Priority	Development of methods by which priority for delivery of services is determined;	<input type="checkbox"/>	<input type="checkbox"/>	

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27	IAC 17-6.10(10) Consumer Feedback	Obtaining comments or suggestions from recipients about services provided by the AAA;	<input type="checkbox"/>	<input type="checkbox"/>	
28	IAC 17-6.10(12) Assurance	Assurance that any facility housing a service will fully comply with all current federal, state or local health, fire, safety, sanitation, accessibility and licensure requirements;	<input type="checkbox"/>	<input type="checkbox"/>	
29	IAC 17-6.10(13) Monitoring Performance	Methods of monitoring service providers to ensure their performance is in accordance with terms, conditions and specifications for funding, including length of funding period, and the use of project income and methods of providing service;	<input type="checkbox"/>	<input type="checkbox"/>	
30	IAC 17-6.11(1) Contracts and Subgrants	A contract or agreement between an AAA and a provider of a specific service in the PSA shall not restrict the AAA from contracting with other provider(s) of similar services.	<input type="checkbox"/>	<input type="checkbox"/>	
31	IAC 17-6.11(2) Contract File	AAA shall maintain a file of all current contracts with service-providing agencies or organizations. These files shall be made available for monitoring and assessment by the department.	<input type="checkbox"/>	<input type="checkbox"/>	

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32	IAC 17-6.14(1) Contributions	<p>The AAA shall consult with the relevant service providers and older individuals in the PSA to determine the best method for accepting voluntary contributions. As established by contract with the AAA, each service provider, including an AAA providing direct service, shall:</p> <ul style="list-style-type: none"> a. Provide each older individual with a voluntary opportunity to contribute to the cost of the service by displaying a suggested contribution schedule that takes into consideration income ranges of eligible individuals in local communities; b. Clearly inform each recipient that there is no obligation to contribute and that the contribution is purely voluntary; c. Protect the privacy and confidentiality of each older individual with respect to the person's contributions; d. Utilize appropriate procedures to safeguard and account for all contributions against loss, mishandling or theft by obtaining bonding for all employees and volunteers; e. Use all contributions to expand the service for which such contribution is given. Nutrition service providers shall use all contributions to increase the number of meals served. 	<input type="checkbox"/>	<input type="checkbox"/>	
33	IAC 17-6.14(2) Failure to contribute	A provider that receives department funds may not deny any older individual a service because the person will not or cannot contribute to the cost.	<input type="checkbox"/>	<input type="checkbox"/>	

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34	IAC 17-6.14(3) Obtain views of older individuals	Each provider shall utilize procedures determined by the AAA for obtaining the views of participants about the services they receive. A report of procedures utilized and findings shall be issued by the AAA within six months of the signing of the contract.	<input type="checkbox"/>	<input type="checkbox"/>	
35	IAC 17-6.14(4) Seek other sources of funding	Prior to requesting Title III funding, service providers shall demonstrate efforts to seek funds from other federal, state, and local sources.	<input type="checkbox"/>	<input type="checkbox"/>	
36	IAC 17-6.14(5) Compliance by service providers	The AAA shall incorporate in its contract with each service provider an assurance that funds are used in compliance with federal guidelines.	<input type="checkbox"/>	<input type="checkbox"/>	
37	IAC 17-6.15(1) Entrepreneurial activities of AAA	<p>An AAA considering entrepreneurial activities must carefully examine the activity to ensure compatibility with its designation as an AAA. The following shall apply to all AAA, unless otherwise prohibited by statute, rule or order:</p> <p>Demonstrated need—use of funds. An AAA may engage in entrepreneurial activities if the activity is in response to a demonstrated need and the funds raised by such activities are used for one of the following purposes:</p> <ul style="list-style-type: none"> a. To further extend services and opportunities for older individuals; or b. To fund new services and opportunities for older individuals provided that these services or opportunities are compatible with the AAA functions and goals. 	<input type="checkbox"/>	<input type="checkbox"/>	

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38	IAC 17-6.15 (2) Entrepreneurial Activities	<p>Restrictions. The following restrictions shall apply to an AAA's engagement in entrepreneurial activities:</p> <p>a. Entrepreneurial activities shall not be undertaken until they have been reviewed by the advisory council and approved by the AAA governing board.</p> <p>b. An AAA that engages in entrepreneurial activities shall not create the impression that the activity is being carried on under governmental authority.</p> <p>c. Funds received as a result of entrepreneurial activities shall be monitored and accounted for according to generally accepted accounting and auditing practices commensurate with the activities.</p> <p>d. Entrepreneurial activities shall be pursued only if the duties and responsibilities required of AAA in this chapter are consistently provided by the AAA in a capable manner.</p> <p>e. Entrepreneurial activities pursued by an AAA and groups or organizations funded by an AAA shall not have, nor present the appearance of, a conflict of interest.</p> <p>f. Entrepreneurial activities shall not utilize funds received from the department for direct costs.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
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39	IAC 17-7.4(4) Collaboration of Services at Focal Point	Developing collocation of services at the focal point. The AAA shall: a. Encourage service providers to coordinate and collocate their services; b. Coordinate with public and private agencies, institutions and elected officials in the community to achieve maximum collocation, coordination, and access to other services or opportunities for the elderly; c. Ensure that information and referral and emergency service programs are provided; d. Ensure that services funded under the Act will be based at, linked to, or coordinated with focal points; e. Establish guidelines for operating schedules which are convenient for older individuals in the community.	<input type="checkbox"/>	<input type="checkbox"/>	
40	IAC 17-7.5(1) Funding for Services and Program Facilities	The AAA may distribute funds received from the department to a public or private nonprofit agency for construction, acquisition, remodeling, leasing or renovation of a facility, including a mobile facility, to be a focal point for providing programs or services. a. In distributing these funds, the AAA shall obtain the approval of the commission before contracting for the construction of a facility. b. The commission may approve the construction of a facility after considering the views of the AAA and reviewing material from the AAA that documents that there are no suitable facilities available to be a focal point for service delivery.	<input type="checkbox"/>	<input type="checkbox"/>	

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41	IAC 17-7.5(2) Purchasing or Constructing a Facility	The AAA may make an award for purchasing or constructing a facility: a. If there are no suitable facilities for leasing; b. If the AAA's budget shows that sufficient funds are or will be available; c. To meet the nonfederal share of the cost of purchase or construction of the facility; d. For effective use of the facility for the purpose for which it is being acquired or constructed; e. To pay the cost of professional and technical personnel required for the operation of facilities used to provide services to older individuals under the cost-share terms and conditions set by the department.	<input type="checkbox"/>	<input type="checkbox"/>	
42	IAC 17-7.5(3) Shared Facility	Shared facilities. In a facility that is shared with other age groups, funds received from the Act may support only: a. That part of the facility used by older persons; or b. A proportionate share of the costs based on the extent of use of the facility for services or programs for the older individuals.	<input type="checkbox"/>	<input type="checkbox"/>	
43	IAC 17-7.6 Compliance with health, safety and construction requirements	A recipient of any award from the department for a facility housing a program or service shall comply with all applicable state and local health, fire, safety, accessibility, building, zoning, and sanitation laws, ordinances and codes including: 1. Rules of the state fire marshal adopted pursuant to Iowa Code chapter 17A, which apply to the occupancy type of the facility; 2. Applicable requirements for accessibility of the facility to persons with disabilities, including but	<input type="checkbox"/>	<input type="checkbox"/>	

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		not limited to provisions of the state of Iowa building code, the federal Americans with Disabilities Act, federal Fair Housing Act and related regulations; and 3. Provisions of any local building code in force in the jurisdiction in which the facility is located and any provisions of the state of Iowa building code which apply statewide. If the facility is located in a jurisdiction in which no local building code is in force, the facility shall comply with the state of Iowa building code in its entirety.			
44	IAC 17-7.7 Terms of use of an acquired or constructed facility	A recipient of funds under the Act that uses these funds for the acquisition or construction of a facility housing a program or service shall comply with the requirements of the Act and other applicable federal requirements regarding the term of use of such facility.	<input type="checkbox"/>	<input type="checkbox"/>	
45	IAC 17-7.8 Restrictions	7.8(1) Membership fees. Payment of a membership fee shall not be required of participants in programs and services offered in facilities that receive or have received funds under the Act. 7.8(2) Sectarian use of a facility prohibited. A facility altered, renovated, acquired, leased or constructed using funds under the Act shall not be used for sectarian instruction or as a place for religious worship.	<input type="checkbox"/>	<input type="checkbox"/>	

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Section II: Program/Service/Area/Contract Performance

Addresses achievements, goals, challenges, and needs.

#	Topic	Question(s)	Response(s)
1	Goals	What are the goals?	
2	Achievements	Describe the achievement(s) over the past year.	
3	Challenges	What barriers or challenges have been experienced?	
4	Technical Assistance	Are there areas that would benefit from additional technical assistance?	